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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	09801848
Filing Date	2001-03-06
First Named Inventor	Christopher Keith
Art Unit	3693
Examiner Name	James M. Albert
Attorney Docket Number	IVEN125462

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Examiner Initial*	Cite No	Patent Number	Kind Code†	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
1	3702007		A	1972-10-31	Davis II	
2	4346442		A	1982-08-24	Musmanno	
3	4376978		A	1983-03-15	Musmanno	
4	4456957		A	1984-06-26	Schiltz	
5	4823265		A	1989-04-18	Nelson	
6	5077665		A	1991-12-31	Silverman	
7	5101353		A	1992-03-31	Lupien	
8	5148365		A	1992-09-15	Dembo	

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9	5253165	A	1993-10-12	Leiseca	
10	5297031	A	1994-03-22	Guterman	
11	5297032	A	1994-03-22	Trojan	
12	5412804	A	1995-05-02	Krishna	
13	5453601	A	1995-09-26	Rosen	
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18	5847845	A	1998-12-08	Takahashi	
19	5915245	A	1999-06-02	Patterson, Jr	

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20	5924083	A	1999-07-13	Silverman	
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22	5983200	A	1999-11-09	Slotnick	
23	6014643	A	2000-11-09	Minton	
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25	6035289	A	2000-03-07	Chou	
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27	6101484	A	2000-08-08	Halbert	
28	6131087	A	2000-10-10	Luke	
29	6160204	A	2000-12-12	Steffens	
30	6236980	B1	2001-05-22	Reese	

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31	6278982	B1	2001-08-21	Korhammer	
32	6317728	B1	2001-11-13	May	
33	6321212	B1	2001-11-20	Lange	
34	6343278	B1	2002-01-29	Jain	
35	6359633	B1	2002-03-19	Balasubramaniam	
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37	6418419	B1	2002-07-09	Nieboer	
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	42	6625583	B1	2003-09-23	Silverman	
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	44	6792399	B1	2004-09-14	Phillips	

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**U.S.PATENT APPLICATION PUBLICATIONS**

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	1	20030014354	A1	2003-01-16	Madoff	
	2	20030014379	A1	2003-01-16	Saras	

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	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp 178-179, 387	<input type="checkbox"/>
	2	Hull, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
	3	Livingston, M., Bonds and Bond Derivatives, Blackwell Publishers Inc , Malden, Mass , 1999, pp. 38-41.	<input type="checkbox"/>
	4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, < <a href="http://proquest.umi.com/pqdweb?index=6&amp;did=52501230&amp;SrchMode=1&amp;sid=21&amp;Fmt=3...">http://proquest.umi.com/pqdweb?index=6&amp;did=52501230&amp;SrchMode=1&amp;sid=21&amp;Fmt=3...</a> >[retrieved November 3, 2005].	<input type="checkbox"/>
	5	"Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," PR Newswire, November 3, 1999, < <a href="http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.html">http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.html</a> > [retrieved April 5, 2004].	<input type="checkbox"/>

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See attached certification statement.  
 Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.  
 None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2006-10-09
Name/Print	Kevan L. Morgan	Registration Number	42015

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